

PTO/SB/08A

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2

Application Number.: 09/431,833  
 Filing Date: November 2, 1999  
 First Named Inventor: Bigus et al.  
 Art Unit: 3621  
 Examiner Name: F. Backer  
 Attorney Docket Number.: RO996-054LB

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
		US -			
		US -			
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**GROUP 3600****FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>
F.B.		Japan - 04-360237	12/14/1992	Hiroshi et al.		
F.B.		Japan - 07-200300	08/04/1995	Tetsuya et al.		
F.B.		World - WO 97/08640	03/06/1997	Howorka		

Examiner Signature	<i>Sumin Bach</i>	Date Considered	11/1/03
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

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**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published.	T <sup>2</sup>
<i>F.B.</i>		T. Uchiki, "Price Forming Simulation in Electrical Market," Study Report of Information Processing Associate, Vol. 95, No. 105, 95-AI-102.	
<i>F.B.</i>		T. Uchiki, "An Experiment for Emergence of Trading Behaviors in Double Auction Market Using Genetic Algorithm," Study Report of Information Processing Associate, Vol. 96, No. 105, 96-AI-106.	

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FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
RO996-054LBSERIAL NO.  
09/431.833LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S  
INFORMATION  
DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANT:  
Joseph P. Bigus et al.FILING DATE:  
November 2, 1999GROUP:  
2762

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE (IF APPRO.)
AA						
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
						YES NO
F.b	AL JP 5 03 5 4 8 1	02/12/93	Japan	G06F	9/44	Abstract
F.b	AM JP 4 36 0 2 3 7	12/14/92	Japan	G06F	9/44	Abstract
	AN					
	AO					
	AP					

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

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